LAD #06DP-05 Data Center Review
Management Action Plan
As of: July 31, 2007

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Audit Report & Rec #	Recommendation	Division Stance	MAP – Management Action Plan	Person Responsible for MAP	Target Date	Comments/Status
LAD # 06DP-05 Rec #1	We recommend the Department: A. Maintain and update the inventory of equipment, systems, and data residing in the data center.	Concur	A. The currently-fragmented inventories of equipment, systems and data will be consolidated, updated and maintained. **Near-term:** Centralized Technical Services will address the issues. **Long-term:** the Configuration DB within ITSD's Service Mgmt System will be the single reference point for this information. A division policy will be drafted requiring staff to maintain inventory records as part of routine work processes.	Dave Harris Wendy Wheeler Jeff Brandt	9/30/06 12/31/07 10/31/06	**Done.** Databases keep current inventory for both computing and network devices. SMP Phase II to be planned in Summer 07 7/31/07 – SMP II planning delayed due to FCMM priority Expectation for staff maintenance clearly set as part of the review & update effort above.
	B. Coordinate with all agencies that have hosted systems in the data center to rank the system's criticality and establish a priority for the order in which systems will be brought back up.		B. The Department will work with agencies on "Continuity of Government (COG)/Continuity of Operations (COOP)" plans, and will pay particular attention to their recovery plan for critical systems residing in the data center.	Dawn Pizzini	Ongoing	New Services Continuity Bureau created and they will be taking over task. COG plan is updated and posted on DES website

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			Development of a "48 Hour" tactical plan is already underway to assure business priorities are clear during disruptions of systems services		9/30/06 Rev 10/31/06 **Rev.: 3/1/07**	In process. Task is larger than anticipated and resources were limited. Additional resource added. End Nov.: work continues **End Feb 07:** New COOP bureau being formed and responsible for this effort.
	C. Evaluate existing threats to the data center including the potential impact or harm.		C. The Department will conduct a threat and impact assessment for the data center by participating in the Capitol complex vulnerability assessment scheduled for July.	Pat Boles	8/31/06	**Completed** and awaiting report. 10/31/06 – no report received 11/27/06 – still no report received **FSIVA team completed assessment but did not provide anything more than oral report. No official report will be received.**
	D. Conduct a cost analysis associated with implementing or improving controls.		D. A cost analysis will be conducted for implementing or improving controls.	Pat Boles & Doug Volesky	TBD based on the results of "C"	**Plan on securing data center with recommendations from the FISAVA team has been presented to Dick Clark for cost analysis/consideration.**
	E. Define the responsibility for, and coordinate with agencies to utilize the existing software package to develop disaster recovery plans.		E. The Department will clarify and communicate its responsibilities to its staff and other stakeholders as follows: o The General Services Division (GSD) is responsible for	Sheryl Olson	7/1/06	Discussed with Deputy Director 7/706. Initial draft prepared 7/7/06 **Complete: Email letter sent to all agency heads on July 14 2006** EPP item not approved for inclusion in the executive budget. Software administration duties

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			coordination of agency disaster recovery planning. o The Information Technology Services Division (ITSD) provides software support for the program. The Department has prepared an EPP for technical support of this software the upcoming budget cycle.			reassigned from ITSD to GSD to provide centralized administration and use of planning product. As of Dec 2006, responsibility has been moved to Deputy Director of DOA who has assigned the new Services Continuity Bureau responsibility. Support for software will continue to come from Service Level Agreement.
LAD # 06DP-05 Rec #2	We recommend the Department A. Implement safeguards such as locked doors in the Mitchell Building hallways or completed walls on the perimeter of the data center to restrict physical access to the data center.	Concur	A. Department divisions will work together to identify and implement, where appropriate, data center physical access restrictions.	Mike Boyer & Doug Olson	Target date to identify potential controls: 10/31/06. Implementation dates will depend on specific improvements identified and their priority sequence in an overall plan.	April 25, 2007 Awaiting ESSC HB830 Meeting scheduled 10/12/06: 1) GSD will construct filler wall above door 51 to pan as wiring and plumbing will permit. 2) Securing door 50 – awaiting like decision to move printing to P&G, then lock from door 52 can be move to door 50 once agency mailboxes removed. 3) Other interior perimeter wall gaps are 4-7" and contain wires and pipes so impractical to construct barrier to pan. 10/31/06 – GSD agreed to fill above

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						door 51. Possible move of printing to P&G so waiting on decision for impact on hall usage. 2/26/07 – final decision on print move to Mail Svcs 5/15/07 – Move plan progressing; agency access to door 50 to be removed about July 1. **7/31/07** – awaiting work order; printing move rescheduled for October
	B. Implement procedures and assign responsibilities to ensure background checks are completed.		B. The Department will implement a procedure that will assure required background checks are performed for individuals and positions that handle sensitive information housed in the data center.	Mike Krings	9/30/06 Rev 11/30/06	ITSD has reviewed the roster of staff needing access to the data center to ensure all have had background checks while in the policy formulation process. **New physical access policy approved by CIO Jan. 2, 2007**
	C. Follow policy and maintain required authorization documentation on file for each individual who has card access to the data center.		C. The Department will maintain card key authorization documentation as recommended.	Mike Krings	Immediately	**Completed**
	D. Conduct a periodic review of all key card access to the data center to confirm appropriateness.		D. The Department will formalize the access card review frequency and process.	Mike Krings	8/31/06	**Done.** Procedure is in the policy process

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	E. Monitor and review the card key activity logs and data center visitor logs for inappropriate or unauthorized access.		E. The Department will review the logs as recommended. The Department will also establish and communicate guidelines for visitor access to the data center.	Mike Krings	7/15/06	**Done. Procedure approved by CIO Jan. 2, 2007**
	F. Develop a system to ensure operator awareness of physical security breaches.		F. The Department will develop a system to ensure data center operators are alerted of physical security breaches. Note: all data center weekend shifts, all midnight shifts, and half the evening shifts are staffed with a single operator. Their duties require them to be away from the console area for significant periods of time. Prompt response to an intruder alert will require additional staff. This gives further weight to an existing EPP for additional operator staffing. The Department will prepare a surveillance equipment plan and EPP request.	Mike Boyer	7/15/06 for EPP prep. Implementation - TBD	**EPP for video security sent to Doug Volesky, et al on 7/18/06** EPP not approved for inclusion in the executive budget. Video security proposal in development stages to assess costs and potential benefits. Security proposal has been submitted to Dick Clark for review and cost benefit analysis.
LAD # 06DP-05 Rec #3	We recommend the Department strengthen safeguards to mitigate the risks associated with earthquake and water-related threats.	Concur	During the budget planning process for FY06-07, the Department submitted an EPP for earthquake dampening devices for data center	Mike Boyer	7/1/06	**Revised EPP prepared 6/29/06 and sent to Doug Volesky, Jeff Brandt; Steve Bender, Dick Clark for processing as needed.**

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			equipment to provide protection during "non-catastrophic" earthquakes. That proposal did not survive the previous budget process. The Department will resubmit that EPP to provide a measure of earthquake protection. .			EPP for earthquake protection equipment was included in the executive budget. Awaiting legislative action. 2/26/07 – included in section budget review. **3/23/07 – House Appropriations sub-committee removed this provision. Therefore, there is no funding for earthquake protection.** **5/15/07 – budget request back in – then out of HB2 as passed**
			The Department has installed new water-sensing and alert equipment in the data center. .		*Completed*	
LAD # 06DP-05 Rec #4	We recommend the Department: A. Maintain an updated statewide disaster recovery plan.	Concur	A. GSD has oversight responsibility for the COG plan.	Sheryl Olson	*See response to Recommendation #1 (E) for communication tasks*	**3/23/07 – A new COOP Bureau has been formed within ITSD to address both A & B** COG Plan has been rewritten.
			ITSD is responsible for developing and maintaining the disaster recovery plan for ITSD equipment and services. ITSD is also responsible to provide technical support for the software tool used to develop and	Dawn Pizzini	3/1/07 & ongoing	

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	B. Coordinate with the Governor's office to request that agencies assign a higher priority to disaster recovery.		maintain COOP plans on a statewide basis. B. The Governor's office has placed a high priority on disaster recovery and set expectations for agency participation in COG/COOP planning efforts. .	Dick Clark	on-going	
LAD # 06DP-05 Rec #5	We recommend the Department clearly define and designate responsibility for coordination of all aspects of data center security.	Concur	The Department will clearly define and designate responsibility for coordination of all aspects of data center security	Dick Clark	7/15/06	Discussed with Sheryl Olson 7/7/06.